

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT***(Use as many sheets as necessary)***Complete if Known**

<b>Application Number</b>	10/566,073
<b>Filing Date</b>	January 26, 2006
<b>First Named Inventor</b>	Strano et al.
<b>Art Unit</b>	Unknown
<b>Examiner Name</b>	Unknown
<b>Attorney Docket Number</b>	11321-P071WOUS

Sheet 2 of 5

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	1	Iijima, "Helical microtubules of graphitic carbon," Nature 1991, 354:56	
	2	Iijima et al, "Single-shell carbon nanotubes of 1-nm diameter," Nature 1993, 363:603	
	3	Bethune et al, "Cobalt-catalysed growth of carbon nanotubes with single-atomic-layer walls," Nature 1993, 363:605	
	4	Baughman et al, "Carbon Nanotubes – the Route Toward Applications," Science 2002, 297:787-792	
	5	O'Connell et al, "Band Gap Fluorescence from Individual Single-Walled Carbon Nanotubes," Science 2002, 297:593	
	6	Avouris, "Molecular Electronics with Carbon Nanotubes," Acc. Chem. Res. 2002, 35:1026-1034	
	7	Bronikowski et al, "Gas-phase production of carbon single-walled nanotubes from carbon monoxide via the HiPco process: A parametric study," Journal of Vacuum Science & Technology 2001, 19:1800-1805	
	8	Strano et al, "The Role of Surfactant Adsorption during Ultrasonication in the Dispersion of Single-Walled Carbon Nanotubes," J. Nanosci. and Nanotech. 2003, 3:81	
	9	Bachilo et al, "Structure-Assigned Optical Spectra of Single-Walled Carbon Nanotubes," Science 2002, 298:2361	
	10	Thess et al, "Crystalline Ropes of Metallic Carbon Nanotubes," Science 1996, 273:483-487	

<b>Examiner Signature</b>		<b>Date Considered</b>	
---------------------------	--	------------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>			<b>Complete if Known</b>		
			Application Number	10/566,073	
			Filing Date	January 26, 2006	
			First Named Inventor	Strano et al.	
			Art Unit	Unknown	
			Examiner Name	Unknown	
Sheet	3	of	5	Attorney Docket Number	11321-P071WOUS

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	11	Chen et al, "Solution Properties of Single-Walled Carbon Nanotubes," Science 1998, 282:95-98	
	12	Ebbesen, "Carbon Nanotubes," Annu. Rev. Mater. Sci. 1994, 24:235-264	
	13	Vander Wal et al, "Flame synthesis of Fe catalyzed single-walled carbon nanotubes and Ni catalyzed nanofibers: growth mechanisms and consequences," Chem. Phys. Lett. 2001, 349:178-184	
	14	Hafner et al, "Catalytic growth of single-wall carbon nanotubes from metal particles," Chem. Phys. Lett. 1998, 296:195-202	
	15	Cheng et al, "Bulk morphology and diameter distribution of single-walled carbon nanotubes synthesized by catalytic decomposition of hydrocarbons," Chem. Phys. Lett. 1998, 289:602-610	
	16	Nikolaev et al, "Gas-phase catalytic growth of single-walled carbon nanotubes from carbon monoxide," Chem. Phys. Lett. 1999, 313:91-97	
	17	Chiang et al, "Purification and Characterization of Single-Wall Carbon Nanotubes," J. Phys. Chem. B 2001, 105:1157-1161	
	18	Chiang et al, "Purification and Characterization of Single-Wall Carbon Nanotubes (SWNTs) Obtained from the Gas-Phase Decomposition of CO (HiPco Process)," J. Phys. Chem. B 2001, 105:8297-8301	
	19	Liu et al, "Fullerene Pipes," Science 1998, 280:1253-1256	
	20	Gu et al, "Cutting Single-Wall Carbon Nanotubes through Fluorination," Nano Lett. 2002, 2(9):1009-1013	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/566,073
				Filing Date	January 26, 2006
				First Named Inventor	Strano et al.
				Art Unit	Unknown
				Examiner Name	Unknown
Sheet	4	of	5	Attorney Docket Number	11321-P071WOUS

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	21	Bravo-Diaz et al, "Effects of Monovalent and Divalent Anionic Dodecyl Sulfate Surfactants on the Dediazonation of 2-, 3-, and 4-Methylbenzenediazonium Tetrafluoroborate," Langmuir 1998, 14:5098	
	22	Bahr et al, "Covalent chemistry of single-wall carbon nanotubes," J. Mat. Chem. 2002, 12:1952-1958	
	23	Dyke et al, "Solvent-Free Functionalization of Carbon Nanotubes," J. Am. Chem. Soc. 2003, 125:1156	
	24	Bahr et al, "Functionalization of Carbon Nanotubes by Electrochemical Reduction of Aryl Diazonium Salts: A Bucky Paper Electrode," J. Am. Chem. Soc. 2001, 123:6536-6542	
	25	Dyke et al, "Unbundled and Highly Functionalized Carbon Nanotubes from Aqueous Reactions," Nano Lett. 2003, 3:1215-1218	
	26	Dyke et al, "Diazonium-Based Functionalization of Carbon Nanotubes: XPS and GC-MS Analysis and Mechanistic Implications," Synthetic Lett. 2004, 155-160	
	27	Strano et al, "Electronic Structure Control of Single-Walled Carbon Nanotube Functionalization," Science 2003, 301:1519	
	28	Niyogi et al, "Chemistry of Single-Walled Carbon Nanotubes," Acc. of Chem. Res. 2002, 35:1105-1113	
	29	Itkis et al, "Spectroscopic Study of the Fermi Level Electronic Structure of Single-Walled Carbon Nanotubes," Nanoletters 2002, 2:155-159	
	30	Chattopadhyay et al, "A Route for Bulk Separation of Semiconducting from Metallic Single-Wall Carbon Nanotubes," J. Am. Chem. Soc. 2003, 125:3370-3375	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/566,073
				Filing Date	January 26, 2006
				First Named Inventor	Strano et al.
				Art Unit	Unknown
				Examiner Name	Unknown
Sheet	5	of	5	Attorney Docket Number	11321-P071WOUS

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	31	Zheng et al, "DNA-assisted dispersion and separation of carbon nanotubes," Nature Materials 2003, 2:338-342	
	32	Doom et al, "Capillary Electrophoresis Separations of Bundled and Individual Carbon Nanotubes," J. Phys. Chem. B 2003, 107,6063-6069	
	33	Dresselhaus et al, "Science of Fullerenes and Carbon Nanotubes," Academic Press, San Diego, 1996	
	34	Saito et al, "Physical Properties of Carbon Nanotubes," Imperial College Press, London, 1998	
	35	Strano et al, "Assignment of (n, m) Raman and Optical Features of Metallic Single-Walled Carbon Nanotubes," Nanoletter 2003, 3: 1091-1096	
	36	Reich et al, "Chirality dependence of the density-of-states singularities in Carbon Nanotubes," American Physical Society, 62: 4273-4276	
	37	Strano et al, "Reversible, Band-Gap-Selective Protonation of Single-Walled Carbon Nanotubes in Solution,"	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.